

GAU 2765

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GROUP 2700

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Jay S. Walker et al. ) Customer No.: 22927  
 For: METHOD AND APPARATUS ) Examiner: Not Yet Assigned  
 FOR PROVIDING CROSS- )  
 BENEFITS BASED ON A )  
 CUSTOMER ACTIVITY )  
 Serial No.: 09/282,747 ) Group Art Unit: 2765  
 Filing Date: March 31, 1999 ) Docket No.: 99-007\*  
 ) \*(Please note new docket number)



Assistant Commissioner for Patents,  
 Washington, D.C. 20231

TRANSMITTAL LETTER

Sir:

Applicants hereby submit the following documents for the above-identified patent application:

1. Supplemental Information Disclosure Statement;
2. Form PTO-1449;
3. Copy of references cited therein (57); and
4. Postcard.

The Assistant Commissioner is hereby authorized to charge the associated filing fee in the amount of \$00.00 to Deposit Account No. 50-0271. Order No. 99-007. A duplicate copy of this sheet is attached. The Assistant Commissioner is hereby authorized to charge any additional fees which may be required for the submission of this paper, or credit any overpayment, to Deposit Account No. 50-0271. Order No. 99-007. A duplicate copy of this authorization is attached.

April 17, 2000  
 Date

Respectfully submitted,

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Certificate of Mailing

I hereby certify that this correspondence is being sent via priority mail in an envelope with sufficient postage addressed to Assistant Commissioner for Patents, Washington, D.C. 20231 on April 17, 2000.

Veronika S. Leliever  
 Typed Name of Person Making Deposit

*V. S. Leliever*  
 Signature

04/17/00  
 Date

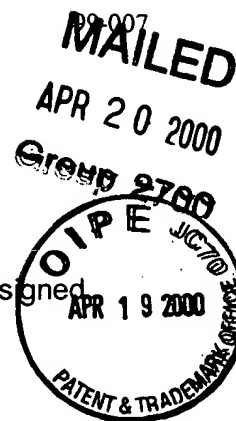
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Jay S. WALKER et al.  
For: METHOD AND APPARATUS FOR  
PROVIDING CROSS-BENEFITS BASED  
ON A CUSTOMER ACTIVITY

Serial No.: 09/282,747

Filing Date: March 31, 1999

) Customer No.: 22927  
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) Examiner: Not Yet Assigned  
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) Group Art Unit: 2765  
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) Docket No.: 99-007\*  
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Assistant Commissioner for Patents  
Washington, D.C. 20231

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Sir:

Applicants submit herewith patents, publications or other information of which they are aware that they believe may be material to the examination of this application, and in respect of which, there may be a duty to disclose.

The filing of this information disclosure statement shall not be construed as a representation that a thorough search has been made, an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists. Nor shall the filing of this information disclosure statement be construed as an admission against interest in any manner.

This Information Disclosure Statement is filed in accordance with 37 C.F.R. §§1.56, 1.97 and 1.98. The items listed below and on the accompanying Form PTO-1449 may be deemed to be pertinent to the above-identified application and are made of record to assist the Patent and Trademark Office in its examination of this application. The Examiner is respectfully requested to fully consider these items and to independently ascertain their teaching.

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- A. U.S. Patent No. 5,025,372 entitled "SYSTEM AND METHOD FOR ADMINISTRATION OF INCENTIVE AWARD PROGRAM THROUGH USE OF CREDIT" issued to Burton et al. on June 18, 1991.
- B. U.S. Patent No. 5,173,851 entitled "METHOD AND APPARATUS FOR DISPENSING DISCOUNT COUPONS IN RESPONSE TO THE PURCHASE OF ONE OR MORE PRODUCTS" issued to Off et al. on December 22, 1992.
- C. U.S. Patent No. 5,297,026 entitled "SYSTEM FOR PROMOTING ACCOUNT ACTIVITY" issued to Frank Hoffman on March 22, 1994.
- D. U.S. Patent No. 5,380,991 entitled "PAPERLESS COUPON REDEMPTION SYSTEM AND METHOD THEREOF" issued to Valencia et al. on January 10, 1995.
- E. U.S. Patent No. 5,420,606 entitled "INSTANT ELECTRONIC COUPON VERIFICATION SYSTEM" issued to Begum et al. on May 30, 1995.
- F. U.S. Patent No. 5,537,314 entitled "REFERRAL RECOGNITION SYSTEM FOR AN INCENTIVE AWARD PROGRAM" issued to Mark W. Kanter on July 16, 1996.
- G. U.S. Patent No. 5,687,322 entitled "METHOD AND SYSTEM FOR SELECTIVE INCENTIVE POINT-OF-SALE MARKETING IN RESPONSE TO CUSTOMER SHOPPING HISTORIES" issued to Deaton et al. on November 11, 1997.
- H. U.S. Patent No. 5,717,860 entitled "METHOD AND APPARATUS FOR TRACKING THE NAVIGATION PATH OF A USER ON THE WORLD WIDE WEB" issued to Graber et al. on February 10, 1998.
- I. U.S. Patent No. 5,727,153 entitled "RETAIL STORE HAVING A SYSTEM OF RECEIVING ELECTRONIC COUPON INFORMATION FROM A PORTABLE CARD AND SENDING THE RECEIVED COUPON INFORMATION TO OTHER PORTABLE CARDS" issued to Ken R. Powell on March 10, 1998.
- J. U.S. Patent No. 5,734,838 entitled "DATABASE COMPUTER ARCHITECTURE FOR MANAGING AN INCENTIVE AWARD PROGRAM

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- K. U.S. Patent No. 5,761,648 entitled "INTERACTIVE MARKETING NETWORK AND PROCESS USING ELECTRONIC CERTIFICATES" issued to Golden et al. on June 2, 1998.
- L. PCT Patent No. WO 96/31848 entitled "TELECOMMUNICATIONS REWARD METHOD" issued to Burdon et al. on October 10, 1996.
- M. PCT Patent No. WO 98/06050 entitled "SYSTEM AND METHOD FOR A TARGETED PAYMENT SYSTEM DISCOUNT PROGRAM" issued to Peirce et al. on February 12, 1998.
- N. Katcher, P. Royall, "GETTING PRODUCTS TO CONSUMERS; THE BASICS OF RETAILING, PART 2", Automotive Marketing, Section: Vol. 19; No. 5; Pg. 34; ISSN: 0193-3264, May 1990.
- O. Ellis Booker, CW Staff, "CHECKOUT LINES TO OFFER MORE THAN JUST CANDY AND WAITING", Computerworld, Section: PCs & Workstations; Pg. 47, May 21, 1990.
- P. U.S. Patent No. 5,794,210 entitled "ATTENTION BROKERAGE" issued to Goldhaber et al. on August 11, 1998.
- Q. U.S. Patent No. 5,806,044 entitled "SYSTEM AND METHOD FOR DISTRIBUTING COUPONS THROUGH A SYSTEM OF COMPUTER NETWORKS" issued to Ken R. Powell on September 8, 1998.
- R. U.S. Patent No. 5,806,045 entitled "METHOD AND SYSTEM FOR ALLOCATING AND REDEEMING INCENTIVE CREDITS BETWEEN A PORTABLE DEVICE AND A BASE DEVICE" issued to Biorge et al. on September 8, 1998.
- S. U.S. Patent No. 5,812,769 entitled "METHOD AND APPARATUS FOR REDIRECTING A USER TO A NEW LOCATION ON THE WORLD WIDE WEB USING RELATIVE UNIVERSAL RESOURCE LOCATORS" issued to Graber et al. on September 22, 1998.

- T. U.S. Patent No. 5,839,119 entitled "METHOD OF ELECTRONIC PAYMENTS THAT PREVENTS DOUBLE-SPENDING" issued to Krsul et al. on November 17, 1998.
- U. U.S. Patent No. 5,857,175 entitled "SYSTEM AND METHOD FOR OFFERING TARGETED DISCOUNTS TO CUSTOMERS" issued to Day et al. on January 5, 1999.
- V. U.S. Patent No. 5,870, 030 entitled "ADVERTISERS PAYS INFORMATION AND MESSAGING SYSTEM AND APPARATUS" issued to DeLuca et al. on February 9, 1999.
- W. U.S. Patent No. 5,873,068 entitled "DISPLAY BASED MARKETING MESSAGE CONTROL SYSTEM AND METHOD" issued to Beaumont et al. on February 16, 1999.
- X. U.S. Patent No. 5,884,292 entitled "SYSTEM FOR SMART CARD FUNDS REFILL" issued to Baker et al. on March 16, 1999.
- Y. U.S. Patent No. 5,890,135 entitled "SYSTEM AND METHOD FOR DISPLAYING PRODUCT INFORMATION IN A RETAIL SYSTEM" issued to Ken R. Powell on March 30, 1999.
- Z. Robert Shaw, "HOW THE SMART CARD IS CHANGING RETAILING", Long Range Planning, Pergamon Press, Vol. 24 No. 1, Pg. 111 to 114; February 1991.
- AA. "CHECKSTANDS BOOST SUPERMARKET PROFITS", Checkstand Design and Productivity; December 1991.
- BB. "SET-TOP 'CONVERGER'; INTERACTIVE INITIATIVES ABOUND AT NCTA CONVENTION", Communications Daily, Section: Vol.13, No. 111; Pg. 9; June 10, 1993.
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INFOGUIDE TO INTERNET COMPUTER NETWORK; NEWS DIGEST; BRIEF ARTICLE; PRODUCT ANNOUNCEMENT", PC Week Section: Vol. 11; No.19; Pg.130; ISSN: 0740-1604; May 16, 1994.

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- FF. Bowles et al. "ADSI: MAXIMIZING THE SYNERGY BETWEEN THE NETWORK AND TERMINALS; ANALOG DISPLAY SERVICES INTERFACE", Telephony, Section: Vol. 227; No.9; Pg. 20; ISSN: 0040-2656; August 29 1994.
- GG. Mitch Ratcliffe, "ALL ROADS LEAD TO MICROSOFT? MICROSOFT'S 'WINDOWS EVERYWHERE' STRATEGY", Digital Media, Section: No. 10, Vol. 4 ; Pg. 3; ISSN: 1056-7038; March 6, 1995.
- HH. "COMPETITIVE LONG DISTANCE", Communications Daily, Section: Vol. 16, No. 95; Pg. 4; May 15, 1996.
- II. Tom Nolle, "OVERCOMING CELLULAR DÉJÀ VU; PERSONAL COMMUNICATIONS SERVICES", America's Network, Section: No. 18, Vol. 100; pg. 70; ISSN: 1075-5292; September 15, 1996.
- JJ. "AT&T WIRELESS ADDS CONVENIENCE TO BUYING CELLULAR SERVICE", M2 Presswire; November 20, 1996.
- KK. "EMAGINET PLANS TO 'PUSH' ITS WAY INTO CONSUMER MINDSET, POCKETBOOK", Interactive PR and Marketing News, Section: Vol. 4, No. 22; May 30, 1997.
- LL. "ADS IN THE ETHER ON PCS PHONES, PAGERS", Brandweek, Pg. 46; March 31, 1997.
- MM. Sinclair Stewart, "TO MAIL OR NOT TO MAIL?", Strategy, Section: Strategy Directresponse Special Report; Couponing; Pg. D21; October 12, 1998.

- NN. Sylvia Dennis, "VISA GETS READY FOR INTERACTIVE SET-TOP BOXES", Newsbytes; December 14, 1998.
- OO. Kelly Shermach, "RETAILERS REBUILD ROOTS AS LOYALTY PIONEERS", Card Marketing, Section: Vol. 3, No. 1; Pg. 1; ISSN: 1095-6263; January 1999.
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- QQ. Abby Ellin, "LISTENING TO AN EARFUL FOR SAVINGS", The New York Times, Section: Personal Business; January 24, 1999.
- RR. Jennifer Files, "GROCERS, AT&T TEAM UP; 'SMART' COUPON TO OFFER BONUS", The Dallas Morning News, Section: Business; Pg. 12F; February 6, 1999.
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- UU. "CARDTRAK ONLINE", ([www.wellsfargo.com](http://www.wellsfargo.com)), March 4, 1999.
- VV. "SMART CARD QUARTERLY", EFT Report, Section: Vol. 22, No. 6; March 24, 1999.
- WW. "\$20 IN FREE GROCERIES WHEN YOU SWITCH TO AT&T RESIDENTIAL TO LONG DISTANCE SERVICE", May 19, 1999.
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- YY. "WINDOWS CE: SMARTCARD BACKGROUND",  
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- CCC. "UP FRONT", Business Week; July 19, 1999.
- DDD. Theresa Poletti, "LATEST TWIST ON FREE PCS: FREE IMACS",  
(<http://www.digital.com/rcfoc/19990802.htm>), August 3, 1999.
- EEE. PCT International Search Report for Application No. PCT/US99/19955,  
dated February 23, 2000.



1. ☐ Any copy of the items listed above and on the enclosed copy of Form PTO-1449 that is not enclosed with this Information Disclosure Statement was previously cited by or submitted to the Patent and Trademark Office in the prior ☐ Continuation, ☐ Divisional or ☐ Continuation in part application filed under 37 C.F.R. §§ 1.53 or 1.60, U.S. Serial No. \_\_\_\_\_, filed \_\_\_\_\_.
2. ☐ For each of the following items listed above and on the enclosed copy of Form PTO-1449 that is not in the English language, a European Search Report from a counterpart European application is enclosed. Such items are marked as reference letter(s): \_\_\_\_\_.
3. ☐ For each of the following items listed above and on the enclosed copy of Form PTO-1449 that is not in the English language, a concise explanation of the relevance of that item is incorporated in the specification of the above-identified application. Such items are marked as reference letter(s): \_\_\_\_\_.
4. ☐ In addition to the citations listed above, applicants respectfully direct the Examiner's attention to the following U.S. patent applications, which are commonly assigned to the assignee of the instant application, and which may be deemed pertinent to the instant application:

<u>Serial No.</u>	<u>Inventors</u>	<u>Filing Date</u>	<u>Group Art Unit</u>	<u>Examiner's Init.</u>
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The Examiner is respectfully requested to fully consider and independently ascertain the teachings and relevance of those applications with respect to the instant application.

5. ☒ No fee is believed to be due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with:
  - ☐ 37 C.F.R. §1.97(b)(1), within three months of the filing date of the above-identified application.
  - ☐ 37 C.F.R. §1.97(b)(2), within three months of the date of entry into the national stage as set forth in §1.491.
  - ☒ 37 C.F.R. §1.97(b)(3), before the mailing date of a first Office Action on the merits.
6. ☐ No fee is believed to be due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. 1.97(c), after the period specified in paragraph 5 above but before the mailing date of a final action or a Notice of Allowance (where there has been no prior final action),

and is accompanied by one of the certifications pursuant to 37 C.F.R. §1.97(e) set forth in paragraph 10 below.

7. ☐ A fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(c) after the period specified in paragraph 5 above but before the mailing date of a final action or a Notice of Allowance (where there has been no prior final action). The fee due under 37 C.F.R. §1.17(p) is to be paid as set forth in paragraph 11 below.
8. ☐ A fee is due under 37 C.F.R. §1.17(i)(1) for this Information Disclosure Statement since it is being filed in accordance with 37 C.F.R. §1.97(d), after the mailing date of a final action or a Notice of Allowance, but before the payment of the issue fee, and is accompanied by:
- a. one of the certifications pursuant to 37 C.F.R. §1.97(e) set forth in paragraph 10 below; and
  - b. this document is to be considered as a petition requesting consideration of the information disclosure statement.
  - c. the fee due under 37 C.F.R. §1.17(i)(1) which is paid as set forth in paragraph 11 below.
9. ☐ A fee is due under 37 C.F.R. §1.17(i)(1) for this Information Disclosure Statement since it is being filed in compliance with:
- ☐ 37 C.F.R. §1.313(b)(3), after the issue fee has been paid and information cited in this Information Disclosure Statement may render at least one claim unpatentable and is accompanied by the attached Petition to Withdraw Application from Issue;
  - ☐ 37 C.F.R. §1.313(b)(5), after the issue fee has been paid and information cited in this Information Disclosure Statement is to be considered in a Continuation application upon abandonment of the instant application and is accompanied by the attached Petition to Withdraw Application from Issue.
  - ☐ The fee due under 37 C.F.R. §1.17(i)(1) is paid as set forth in paragraph 11 below.
10. ☐ I hereby certify:
- ☐ that each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. A copy of such communication is enclosed.

- ☐ that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office or counterpart foreign application and, to the knowledge of the undersigned after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

11. ☐ Please accept payment of the fees due as indicated below:

- ☐ A check in the amount of \$240.00 is enclosed in payment of the fee due under 37 C.F.R. 1.17(p).
- ☐ The Commissioner is hereby authorized to charge \$240.00 to Deposit Account No. 50-0271 in payment of the fee due under 37 C.F.R. §1.17(p). A duplicate copy of this sheet is attached for such purpose
- ☐ A check in the amount of \$130.00 is enclosed in payment of the fee due under 37 C.F.R. §1.17(i)(1).
- ☐ The Commissioner is authorized to charge \$130.00 to Deposit Account No. 50-0271 in payment of the fee due under 37 C.F.R. §1.17(i)(1). A duplicate copy of this sheet is attached.

12. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required for this Information Disclosure Statement, or credit any overpayment to Deposit Account No. 50-0271. A copy of this authorization is attached.

Respectfully submitted,

April 17, 2000  
Date

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- ☐ that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the undersigned after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

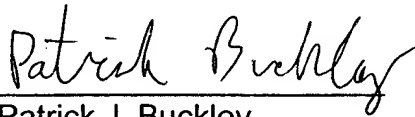
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